

LABORATORY DIRECTED RESEARCH AND DEVELOPMENT - FY2004

GUIDELINES AND PROCEDURES

(Guidance documents and associated forms on specific LDRD components may be found on Argonne's web site at <http://www.anl.gov/LDRD>*)

General LDRD Guidance and Background

PROGRAM PURPOSE

The ANL Laboratory Directed Research and Development Fund (LDRD) is established to support and encourage new ideas and novel approaches to scientific and technical problems. It is expected that efforts supported by the LDRD Program will lead to new programs and new directions for the Laboratory, while taking maximum advantage of the talents and creativity of Argonne staff.

GENERAL PROCEDURES

1. LDRD projects to be funded will be selected using well-defined review processes from all proposals submitted by Argonne staff. Project duration is limited to 36 contiguous months.
2. Calls for proposals corresponding to the various components of the LDRD Program will be issued annually and be accompanied by relevant guidance concerning DOE and Laboratory guidelines, appropriate proposal content and format, and submission procedures. The annual Call specifies a two-stage process for new proposals, requiring submission of pre-proposals before full proposals are invited.
3. New and renewal proposals must be clearly distinguished from each other. Characterizing a proposal as new implies that no prior LDRD funding was devoted to any aspect of the work. If part or all of the project received prior-year LDRD funding, proposals must specify amounts by fiscal year and trace any changes in project title which have occurred. Any initiation or termination of subtasks within a project during or between fiscal years must be reported and explained.
4. The Laboratory's Programmatic Strategic Planning Council, peer review panels within initiative areas, or the Director's Review Committee for Director's Competitive Grants, whichever is appropriate, will review submitted proposals, obtain any additional information considered necessary, and submit its recommendations for funding to the Laboratory Director.
5. Budgets will be established for each of the approved projects, and appropriate accounts will be opened to collect charges. Any proposed change in scope or

* This web site can only be accessed from servers with ANL's IP domain name (anl.gov).

change in availability of resources once a project has been funded must be immediately reported to the LDRD Program Manager.

6. Proposals may be submitted to the Laboratory Director at any time. However, the majority of the funds will be committed at the beginning of the fiscal year. Funding allocations may be changed during the year by the Laboratory Director in response to new needs or opportunities.
7. The resources to be made available for the LDRD program will be established by the Laboratory Director, within the DOE and Congressionally approved maxima, prior to the beginning of the fiscal year.
8. Principal investigators of newly funded and renewed projects will supply the Director's Office with a lay-language abstract of the approved work appropriate for reporting purposes to DOE and other external entities. These abstracts will be collected as part of the required proposal cover sheet. (This supercedes prior year guidance that required this abstract to be part of the Work Project Authorization form.)
9. A written year-end report will be prepared by the principal investigator(s) for each year of each funded project. The report must summarize the technical results obtained by the study in sufficient detail and at a level of presentation so that a non-specialist can appreciate the content and accomplishments. The report should also identify opportunities for new funding resulting from the study. The report must be submitted within two months after the completion of the project or within two months after the end of the fiscal year, whichever comes first. Explicit guidelines on content and format of the report will be distributed at fiscal-year end. Submission of the report must be accompanied by a fully filled in "data update" form related to LDRD performance measures and other DOE-initiated survey requirements. Abbreviated reports will be accepted for projects continuing into the next fiscal year. In all cases, a full report is required on completion of the project.
10. Principal investigators are obligated to continue to provide annually updated information on such accomplishments as publications and follow-on funding for three years after completion of the LDRD project itself.
11. Selected projects and investigators may be asked to present their work to DOE and other review panels, both while the project is ongoing and after its completion. LDRD investigators are also obligated at some point during or shortly after completion of their projects to present brief summaries of their work at internal Argonne symposia organized expressly for that purpose.
12. Principal investigators and their division management are responsible for securing all necessary reviews, reports, and approvals associated with safe execution of the research, NEPA and human subject testing requirements, safeguarding of

proprietary information, and identification and notification procedures for work with a security interest.

GENERAL PROGRAM CHARACTERISTICS

1. The LDRD program will be administered under guidelines established by DOE for the use of LDRD funds (See DOE Order 413.2A).
2. LDRD projects should emphasize scientific and technical excellence and be at the forefront of science and technology.
3. LDRD projects should offer the promise to enhance the Laboratory's capabilities, consistent with DOE and Laboratory missions, and be relevant to the long-term strategic view of the Laboratory.
4. LDRD projects should comprise adequate effort and resources to insure proposed ideas are thoroughly tested. However, typical LDRD projects will generally not exceed 1.5 FTE of effort plus M&S (total \$200K in any one year and, if a multi-year project, should not exceed \$400K in total). Separately identifiable tasks that can stand alone as LDRD projects should not be aggregated into larger, single PI, projects. See an explanation of "initiative proposals versus project proposals" at the Argonne LDRD web site.
5. LDRD projects may not be used to substitute for or supplement funds from DOE or any other sponsors. LDRD projects may not be used to prepare facility conceptual designs, or to fund construction line-items, facility maintenance, or general-purpose capital expenditures. Purchases of certain sensitive equipment (regardless of cost), such as general purpose personal computer equipment or general purpose photographic equipment, may not be made with LDRD funds. Consult with your division if in doubt.
6. LDRD funds must primarily support the technical activities of research and development. They may not support organizational or program development activities and may only support travel, report/proposal preparation, and other such ancillary activities when relatively small and subsidiary to the research itself.
7. Any inventions related to LDRD research for which an invention report has been submitted (whether or not the invention is a product of LDRD research) may be used to perform research but may not be the object of LDRD research for purposes of further product development and commercialization.
8. Collaborations with external research performers are allowed and encouraged. Collaboration may, for example, be with other government laboratories, universities, or industrial laboratories. The same forms of collaborative agreements (including CRADAs) as would be appropriate for other ANL research may be used when LDRD is involved. However, the LDRD project at ANL must be able to stand on its

own merits as a self-contained project and pass the same review scrutiny as do other LDRD projects. Collaboration may not involve commingling of LDRD funds at Argonne with those of the collaborator's institution or third parties. The risks to project success attendant to possible non-performance of external collaborators would be considered in the review process.

9. When the research of an LDRD project (in whole or in part) is continued under follow-on funding from a non-LDRD source, that part of the LDRD project must be terminated as soon as the new funds arrive at the Laboratory. However, reasonable effort and time should be devoted to insure an orderly transition to the new sponsor and to reorganize and evaluate the status of any unfunded remnant of the original LDRD project.

SELECTION CRITERIA

General Criteria

- Quality, reflecting inherent scientific and technical merit in a technically sound project at the forefront of its technical area
- Likelihood of success, as evidenced by reasonable project goals commensurate with the resources and time scale of the research
- Leverage for new avenues of R&D, in terms of the prospects that the project, if successful, would lead to an expanded effort funded from other sources
- Value of the project's expected contribution to science or expected advance in engineering (in the context of Argonne's programmatic and other interests)
- General innovativeness

See additional and more specific criteria listed in the separate guidance documents for proposals to the Strategic Initiatives and Director's Competitive Grants components of LDRD.

SUBMISSION

Submit **pre-proposals** for the Strategic Initiatives component of LDRD to your initiative leaders and ALD offices in a manner and by the dates specified. (May 15, 2003 is the suggested due date for these pre-proposals.)

For the Director's Competitive Grants component, submit the original of the completed **pre-proposal** directly to the LDRD Program Manager in the Office of the Director no later than close of business **May 23, 2003**. **IMPORTANT:** For direct submissions such as these, you should receive within two weeks an acknowledgment of receipt from the LDRD Program Office. If you have sent a **pre-proposal** and not received an acknowledgment, contact the LDRD Program Office at once.

All full proposals and Competitive Grants pre-proposals must use the proposal template available at the LDRD website. It is recommended, but not required, that Strategic pre-proposals also use the template.

All full proposals must be accompanied by a Full Proposal Cover Sheet that includes the lay language abstract, a Proposal Compliance Check List, and, for Strategic proposals only, an endorsement by the relevant ALD(s) and division director(s).